

SECTION 7-A		TIERED PERMITTING-ALL TIERS
<b>1-Is hazardous waste treated onsite authorized under Tiered Permitting?</b>	<input type="checkbox"/> YES <input type="checkbox"/> NO	<b>COMMENTS:</b> _____ _____
<ul style="list-style-type: none"> <li>You can only treat eligible waste streams by certain approved technologies.</li> <li>You may only treat waste generated onsite and must treat in tanks or containers</li> <li>You <b>may not</b> treat waste that is reactive or extremely hazardous</li> <li>You <b>may not</b> treat waste in landfills, surface impoundments, injection wells, waste piles, land treatment units, or other thermal units.</li> </ul>		
<b>2-Are all wastes treated at the facility generated onsite?</b>	<input type="checkbox"/> YES <input type="checkbox"/> NO	<b>COMMENTS:</b> _____ _____
You may only treat eligible waste streams by certain approved technologies, and all wastes treated must be generated onsite. Refer to the Tiered Permitting flowcharts to find out if the waste you generate onsite can be treated under one of the tiers.		
<b>3-Has the onsite hazardous waste treatment notification been completed accurately?</b> <b>Is it on file with the CUPA and a copy kept onsite?</b>	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO	<b>COMMENTS:</b> _____ _____ _____ _____
You must complete an onsite hazardous waste notification and submit it to the local CUPA at least 60 days before you start treating hazardous wastes at your facility. Make sure that your notification is properly completed and that you maintain a copy available for your records.		
<b>4-Is the number of tanks, containers, and treatment processes correct for each treatment unit?</b>	<input type="checkbox"/> YES <input type="checkbox"/> NO	<b>COMMENTS:</b> _____ _____
When completing your notification, ensure that you include all of the tanks, containers, and treatment processes that are part of each of your hazardous waste treatment units. After you complete your notification, a walk-thru of your shop may help you verify that all treatment system components have been included.		
<b>5-Is the estimated/actual monthly treatment appropriate for indicated tiers?</b>	<input type="checkbox"/> YES <input type="checkbox"/> NO	<b>COMMENTS:</b> _____ _____
Check the Tiered Permitting flowcharts to verify that the amount of hazardous waste you will be treating onsite is within the limits for the tier under which you are notifying.		
<b>6-Does facility meet all industrial waste discharge requirements (POTW), as applicable, and maintains records of compliance for the required time (CE-3 years; CA-5 years; PBR-until closure)?</b>	<input type="checkbox"/> YES <input type="checkbox"/> NO	<b>COMMENTS:</b> _____ _____ _____
Treating waste onsite under tiered permitting requires that your shop meets all industrial waste discharge requirements from your local sewer authority. Maintain records of compliance with these requirements for at least three years for the Conditionally Exempt tier and for at least three years for the Conditional Authorization and Permit by Rule tiers.		

**SECTION 7-A****TIERED PERMITTING-ALL TIERS**

**7- Are treatment units no longer used properly closed? Has equipment, waste residues, containment systems, soils, and/or structures been removed or decontaminated?**

☐ YES

☐ NO

**COMMENTS:** \_\_\_\_\_

When you stop operating a treatment unit, you must remove or decontaminate all hazardous waste, waste residues, containment systems components, soil, and other structures or equipment contaminated with hazardous waste from the unit.

**8- Has HMD been notified after meeting the requirements for closure of treatment unit? For a PBR unit, was notification made 15 days BEFORE completion of closure?**

☐ YES

☐ NO

**COMMENTS:** \_\_\_\_\_

If you permanently stop operating a unit, you must notify the local CUPA in writing that you have properly closed the unit. Your notification must include the name of your company and address, EPA ID number, tier of the authorized unit/units, and date of closure. If you were treating under the PBR tier, the owner of the facility and an independent Professional Engineer registered in California must certify that your unit has been closed according to your closure plan and the applicable regulations.

**9-Are complete written operating instructions for treatment units available? They include: how to operate unit, how to perform waste treatment, and how to manage residuals.**

☐ YES

☐ NO

**COMMENTS:** \_\_\_\_\_

Maintain written operating instructions at your shop for every treatment unit. Maintain current instructions and indicate how to operate the units, how to conduct the treatment of hazardous wastes and what to do with the residuals that will be generated from your treatment process.

**10- Are records of the dates, volumes, and types of wastes treated onsite available and kept 3 years for CE; 5 years for CA; or until closure for PBR unit?**

☐ YES

☐ NO

**COMMENTS:** \_\_\_\_\_

You must keep a treatment log containing the dates, volumes and types of wastes that are treated at your shop. Keep these records for a minimum of three years for Conditionally Exempt units; 5 years for Conditional Authorization; and until closure for units operated under the Permit by Rule tier.

**11- Is onsite treatment only done in tanks or containers?**

☐ YES

☐ NO

**COMMENTS:** \_\_\_\_\_

When doing onsite treatment of hazardous waste, you can only conduct treatment in tanks and containers. Your hazardous waste treatment unit can be a tank, a container, or a combination of tanks or tank systems or containers located together that are used in sequence to treat one or more compatible hazardous wastes. The tanks or containers are either plumbed together or otherwise linked so as to form one treatment system.

**SECTION 7-B****TIERED PERMITTING-CEL TIER ONLY**

**1-CEL only: Are oil waste separator units used properly to treat contaminated groundwater, gasoline, or >2% diesel-contaminated water?**

☐ YES☐ NO

COMMENTS: \_\_\_\_\_

Be sure to comply with the limitations for treatment in the oil-waste separator under the CEL-Tier. Do not treat contaminated groundwater, gasoline or >2% diesel contaminated water.

**SECTION 7-C****TIERED PERMITTING-CA & PBR ONLY**

**1a-Proper secondary containment is available and it is:**

**1b-compatible with stored waste,**

**1c- free of cracks & leaks,**

**1d- protecting containers from contact with accumulated liquid,**

**1e-capable of containing a 24-hour/25 year storm precipitation plus 10% volume of all containers, or 100% largest container volume, whichever is greater?**

**1a**☐ YES ☐ NO**1b**☐ YES ☐ NO**1c**☐ YES ☐ NO**1d**☐ YES ☐ NO**1e**☐ YES ☐ NO

COMMENTS: \_\_\_\_\_

If you treat hazardous waste in tanks, you must comply with the standards for storage and treatment of hazardous waste in tanks. All new tanks (installed or modified after July 1<sup>st</sup>, 1991 had to have an integrity assessment and secondary containment certified by a professional engineer before they were installed or modified. Most existing tanks must also have secondary containment.

**2-Has your facility obtained a written statement / assessment signed by an independent, California registered professional engineer certifying that tank system and secondary containment for tanks or containers meet all the design requirements of Title 22 CCR?**

☐ YES☐ NO

COMMENTS: \_\_\_\_\_

An independent, professional engineer, registered in California must certify the tank system assessment with the following wording: *I certify under penalty of perjury of law that this document and all attachments were prepared under my direction or supervision in accordance with a system designed to assure that qualified personnel properly gather and evaluate the information submitted. Based on my inquiry of the person or persons who manage the system, the information submitted is, to the best of my knowledge and belief, true, accurate, and complete. I am aware that there are significant penalties for submitting false information, including the possibility of fines and imprisonment for knowing violations.*

**3-Is security provided via 24 hour controlled entry & warning signs for this facility where unauthorized or unknowing entry could cause injury or violation?**

☐ YES☐ NO

COMMENTS: \_\_\_\_\_

You must prevent an unknowing entry and minimize unauthorized entry of persons or livestock onto the active portion of your shop. To ensure security you must provide 24 hour surveillance which continuously monitors and controls entry onto the active portion of your facility or provide an artificial barrier that completely surrounds the active portion of the facility and a means to control the entry at all times, through gates or other entrances to the active portion of the facility.

SECTION 7-C		TIERED PERMITTING-CA & PBR ONLY
<b>4-Has the Phase I site assessment checklist been completed &amp; filed (with DTSC) within one year of being authorized to operate unit?</b>	<input type="checkbox"/> YES  <input type="checkbox"/> NO	<b>COMMENTS:</b> _____ _____ _____
The DTSC checklist will assist you in identifying potentially contaminated areas of your shop, which require further investigation or remediation. It will assist you to: (1) Evaluate the property where your facility is located for areas of possible or documented contamination such as spill locations, leaking equipment, and regulated or non-regulated hazardous or non-hazardous waste management units and (2) determine if the documented or potential contamination requires further investigation to determine its existence, nature, or extent.		
<b>5a-Was the annual waste minimization certification properly completed / submitted to HMD?</b> <b>5b-Does it outlines waste minimization program -as economically feasible- and states that treatment is in accordance with waste minimization program?</b>	<input type="checkbox"/> YES <input type="checkbox"/> NO  <input type="checkbox"/> YES <input type="checkbox"/> NO	<b>COMMENTS:</b> _____ _____ _____ _____ _____
You must prepare an annual hazardous waste minimization certification, which states that a program has been established to reduce the quantity or toxicity of hazardous waste to a degree that is economically feasible, and that waste treatment, storage, and disposal is performed in accordance with that program.		
<b>6-Financial assurance has been obtained.</b> <b>-Is it updated annually with an adequate sum of closure cost estimates using appropriate mechanism (i.e. trust fund, surety bond, insurance, self-certification) showing each unit's estimated closure costs?</b> <b>-Has the UPC form "Certification of Financial Assurance" been submitted to HMD?</b>	<input type="checkbox"/> YES <input type="checkbox"/> NO  <input type="checkbox"/> YES <input type="checkbox"/> NO  <input type="checkbox"/> YES <input type="checkbox"/> NO	<b>COMMENTS:</b> _____ _____ _____ _____ _____ _____ _____
You must prepare a written estimate of the cost to close each treatment unit even if you are claiming to be self-certified. The estimate must represent the actual cost of closing a treatment unit. The closure estimate may take into account using your own staff or personal equipment, any salvage value from the sale of facility structure or equipment, and the sale of the land and other facility assets. Submit this estimate as an attachment to the Certification of Financial Assurance form. This written estimate must be updated by March 1 <sup>st</sup> every year.		

## Chapter 18

## Self-Audit Checklist

SECTION 7-D		TIERED PERMITTING-PBR TIER ONLY	
Has the PBR notification been renewed/filed annually (due by January 1st) or sooner [if significant change(s) occurred]?	<input type="checkbox"/> YES <input type="checkbox"/> NO	COMMENTS: _____ _____ _____	
<p>You must submit an initial notification at least 60 days before the first waste treatment and an annual notification every year by January 1<sup>st</sup> of each year following the first treatment. Your submittal must include: 1-Business Activities Page; 2-Business Owner/Operator Identification Page; 3- Onsite Hazardous Waste Treatment Notification-Facility Page; and 4-Onsite Waste Treatment Notification-Unit Page.</p> <p>Submit an amended notification page whenever there is any change to the information contained in your most recent notification. Always keep a copy of the completed forms you submit.</p>			
SECTION 7-D		TIERED PERMITTING-PBR TIER ONLY	
Are exterior of treatment units permanently marked with facility ID numbers, an individual serial numbers, and name of the owner/operator?	<input type="checkbox"/> YES <input type="checkbox"/> NO	COMMENTS: _____ _____ _____	
<p>Units used to conduct treatment onsite must be permanently marked with facility ID number, an individual serial number and the name of the owner/operator of the unit. Check units to ensure that units are properly marked.</p>			
Is there an adequate written waste analysis plan that specifies parameters of analysis, testing methods, frequency of analysis and sampling methods used to obtain representative samples?	<input type="checkbox"/> YES <input type="checkbox"/> NO	COMMENTS: _____ _____ _____	
<p>If you treat hazardous waste under PBR, you must prepare a waste analysis plan and have all the hazardous wastes that will be treated under PBR analyzed according to this plan. At a minimum, the plan must contain the following information: Parameters to be analyzed and rationale for selection of those parameters; test methods to be used in the analyses; sampling methods to be used to obtain representative samples; frequency of analysis. You must maintain your waste analysis plan and records of testing analysis at the shop where your waste is being treated.</p>			
Does your facility does have an adequate written closure plan that specifies: <input type="checkbox"/> How & when each unit will be closed? <input type="checkbox"/> Equipment decontamination steps & procedures? <input type="checkbox"/> Expected year of closure? <input type="checkbox"/> Estimated time required to close each unit?	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> YES <input type="checkbox"/> NO	COMMENTS: _____ _____ _____ _____ _____ _____ _____	
<p>Your facility must have a written <b>closure</b> plan which includes: a description of how and when each unit will be closed; an estimate of maximum inventory of waste in storage and in treatment at any time during the operation of the unit; procedures for decontamination of equipment; expected year of <b>closure</b>; and the estimated time required to close each unit. If you already have a plan, review it and make sure that it contains all required information. Update plan when conditions change and maintain a current copy available.</p>			

## Chapter 18

## Self-Audit Checklist

SECTION 7-D		TIERED PERMITTING-PBR TIER ONLY
Was all hazardous waste removed within 90 days of last treatment in accordance with the unit's closure plan?	<input type="checkbox"/> YES <input type="checkbox"/> NO	COMMENTS: _____ _____ _____
When closing your hazardous waste treatment unit, all hazardous waste must be removed within 90 days after last waste treatment.		
Were all closure activities completed within 180 days after final treatment?	<input type="checkbox"/> YES <input type="checkbox"/> NO	COMMENTS: _____ _____ _____
Complete all closure activities must be completed within 180 days of treating the final volume of hazardous waste.		
Was notification made to the HMD 15 days prior to completion of closure?	<input type="checkbox"/> YES <input type="checkbox"/> NO	COMMENTS: _____ _____ _____
Notify HMD at least 15 days prior to completion of <b>closure</b> . After completion of <b>closure</b> , the owner of the facility and an independent Professional Engineer registered in California must certify that the PBR treatment unit has been closed according to your closure plan and the regulations. Until you close properly close the unit and the HMD has approved your closure, you will be charged a fee for your onsite treatment unit.		
Was the certification signed by the owner/operator <u>and</u> a California registered, independent professional engineer and submitted to the HMD notifying that closure has been completed per the closure plan?	<input type="checkbox"/> YES <input type="checkbox"/> NO	COMMENTS: _____ _____ _____
After completion of <b>closure</b> , a certification signed by the owner or operator and by an independent California registered professional engineer must be submitted to DTSC.		